

# Why **Global Green OA** is the Only Way to **Fair-Gold OA** Instead of **Fool's Gold OA**

Stevan Harnad  
Web Science, U Southampton

# What Is Open Access:?

- Free,
- **Immediate**
- Permanent
- Full-Text
- On-Line
- Access

# There are two ways to provide OA:

**Green OA Self-Archiving: Authors self-archive the articles they publish in the 25,000 peer-reviewed journals**

**Gold OA Publishing: authors publish in one of the c. 3000 OA journals (some still recovering costs through institutional subscriptions, others through author/institutional publication charges) <http://www.doaj.org/>**

# Pavla Rygelova' 3 questions

- The 1st – Could you describe your point of view of current situation in OA – battle of green vs. gold (fool's gold) – Could you express your attitude to „winning“ activities – gold OA policy in UK, OA2020
- The 2nd - Could you give us advice how to increase impact of green OA policy, how to encourage research and university management to support self-archiving (to support pure open access to published publications).
- The 3rd – Have you got some recommendations how to fight against low quality of scientific publishing - how to force researchers not to publish in predatory journals? (publishing ethics is one of the main topics of this year program of our seminar).

# Revolution #1: 300,000 Years ago:

The Advent of Language (words were free)



# Revolution #2: 6000 years ago

## The Advent of Handwriting



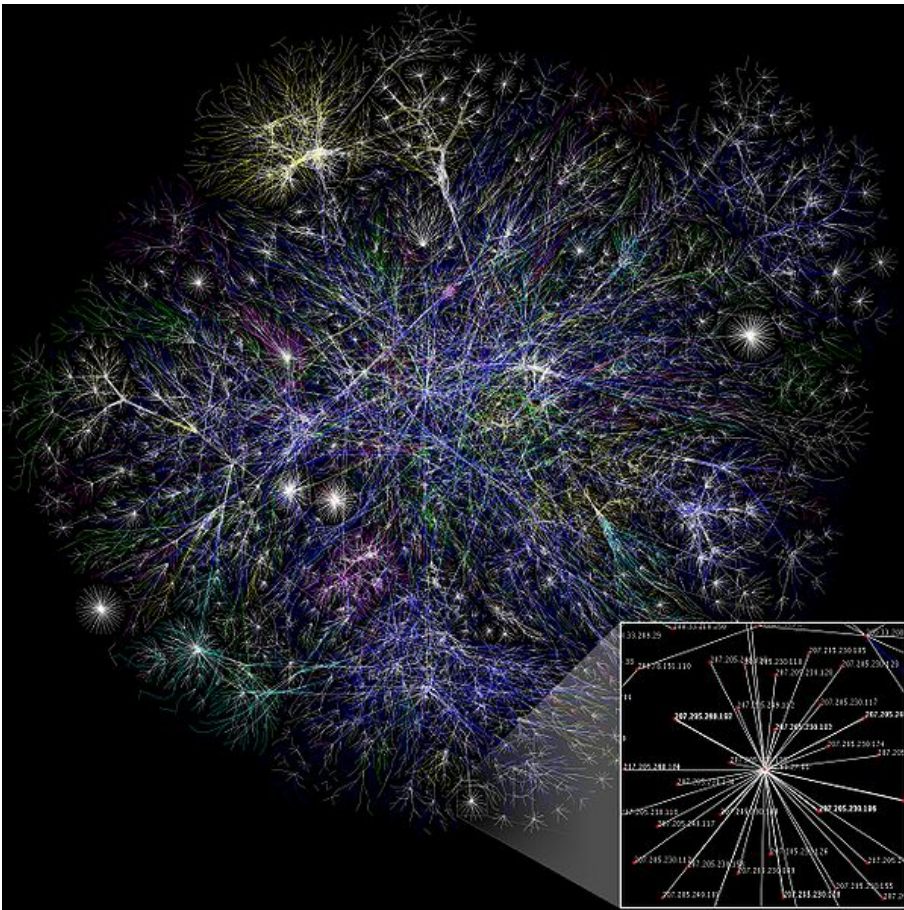
# Revolution #3: 600 years ago: Print

Spoken interactions are *online cognition*; written interactions are *offline cognition*.





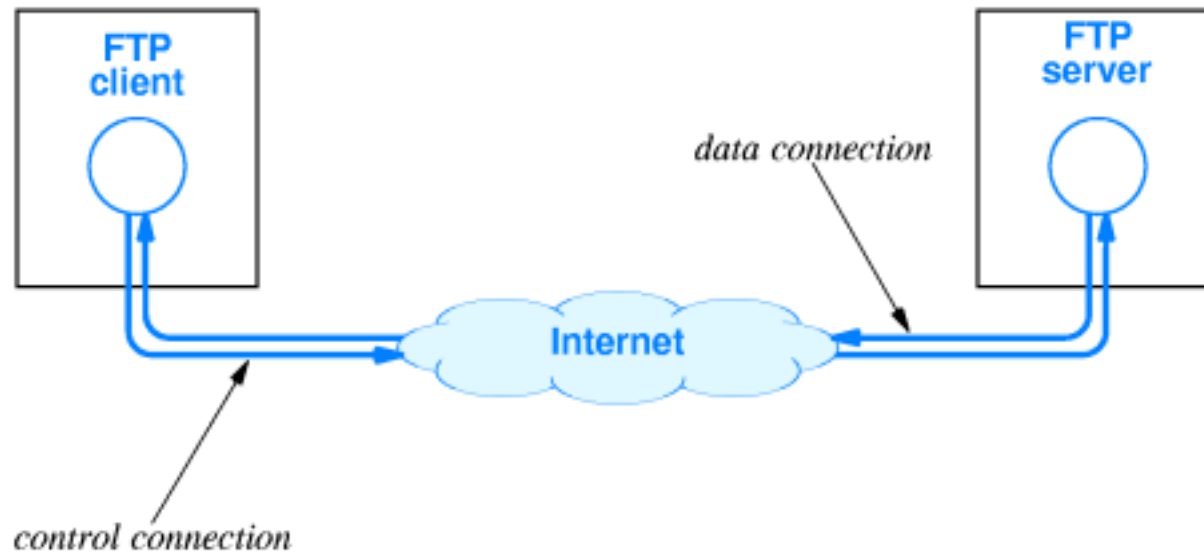
# Revolution #4: 50 yrs ago: Internet





## FTP: 1960's

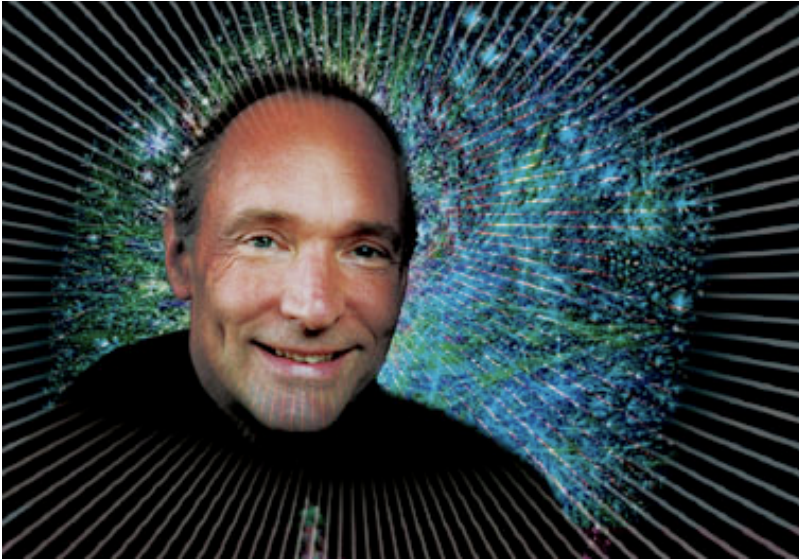
(Computer scientists began sharing papers by depositing them in anonymous FTP archives:



# 1989 – 2002 Psycholoquy (one of earliest Gold OA journals)



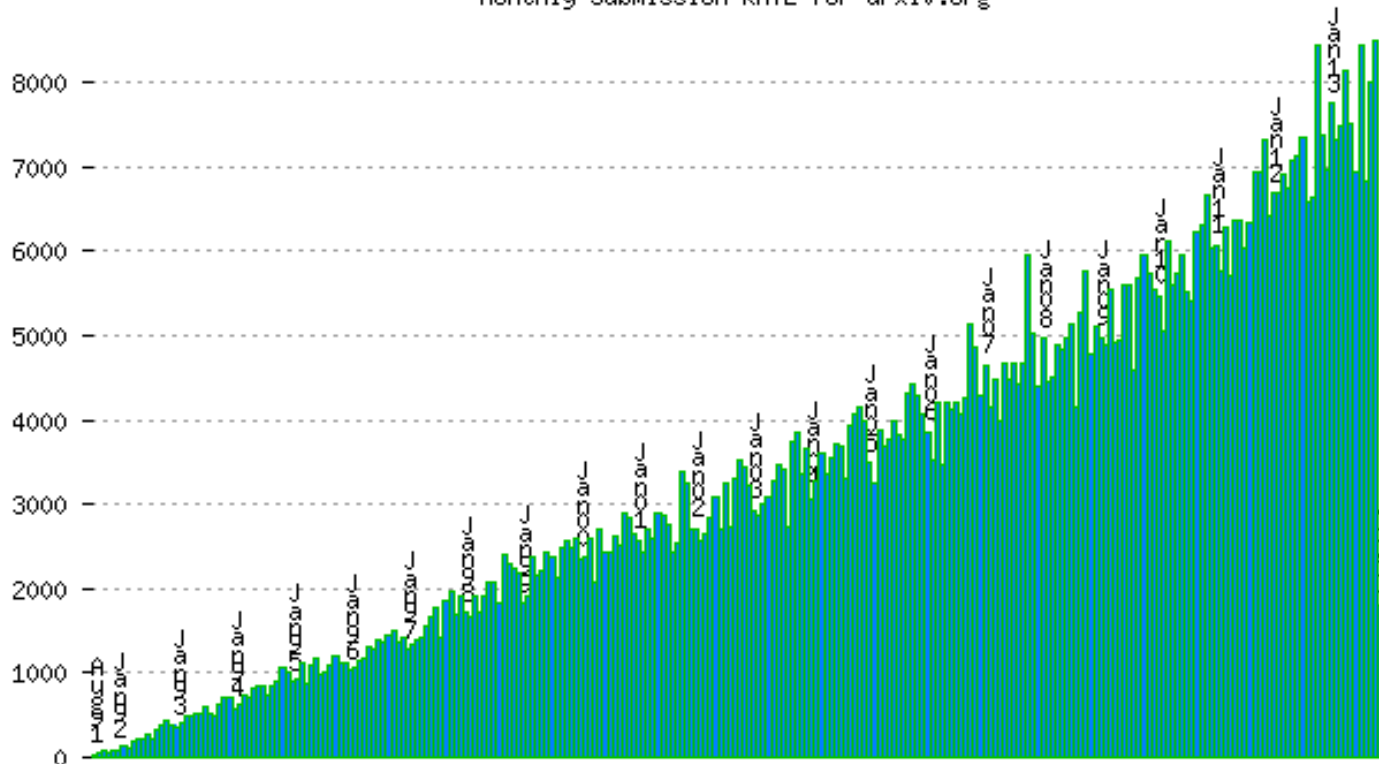
# 25 years ago: the Web



# Arxiv 1991

(physicists have been depositing – no questions asked – for nearly a quarter century now)

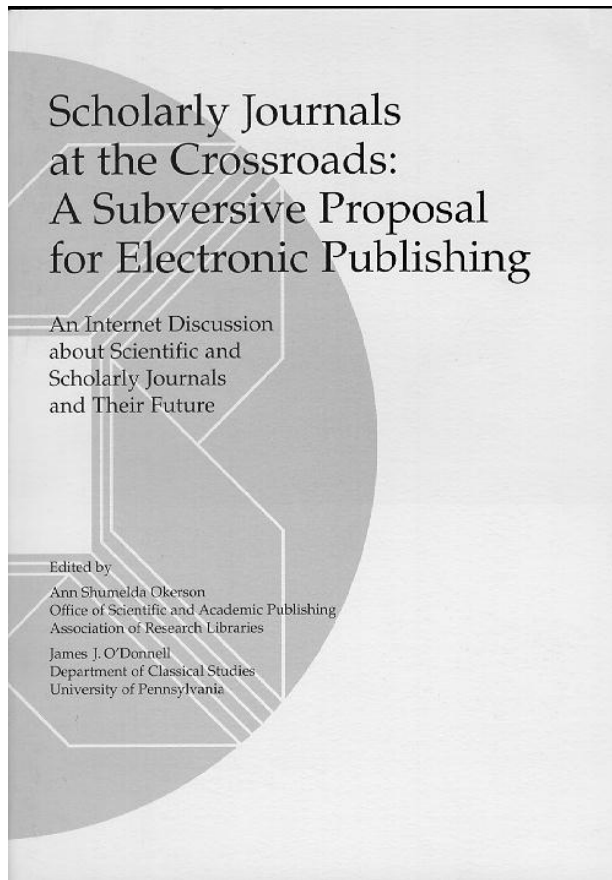
Monthly Submission RATE for arxiv.org



First 22.3 years (7 Nov '13 total = 889,450)

# Jun 1994 – Subversive Proposal

(authors should self-archive the final, refereed, accepted drafts of their journal articles, free for all online)



**Jan 1996 – JISC ELiB**  
**Cogprints Project**  
(Matt Hemus)





## **Sep 1998 – American Scientist Open Access Forum (Amsci) (now the Global Open Access Forum (GOAL))**

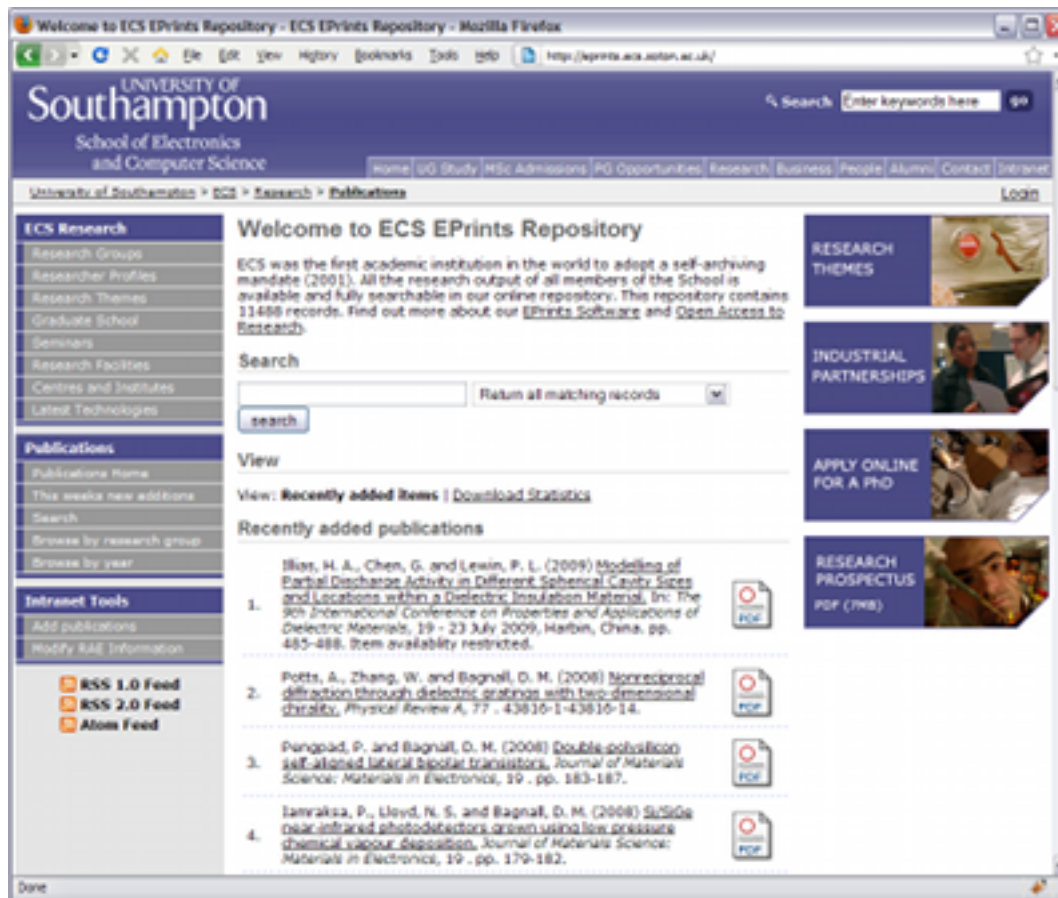


# Oct 1999 – EPrints announced

(Rob Tansley, later Chris Gutteridge)



# Jan 2000 – First EPrints repository goes live (eprints.ecs.soton.ac.uk)



# Dec 2001 – Budapest Open Access Initiative (BOAI)

## BOAI 1 (Green) + BOAI 2 (Gold)



# **Feb 2002 – International Meeting on National Policies on Open Access**

**(Tom Cochrane (QUT) was in attendance)**

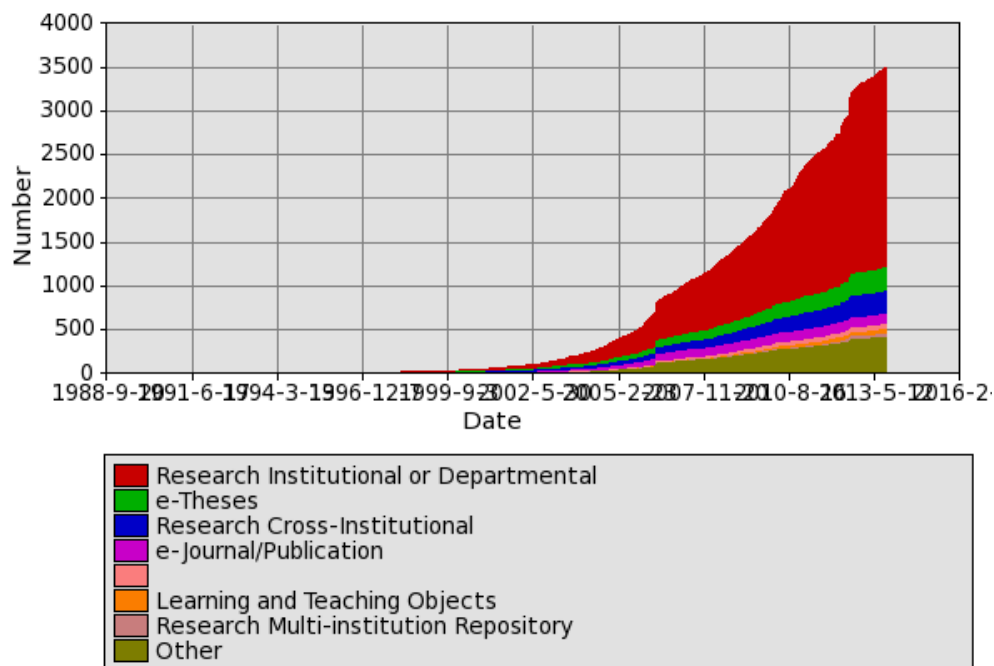


**University  
of Southampton**

# 2003 -- ROAR

## Registry of Open Access Repositories

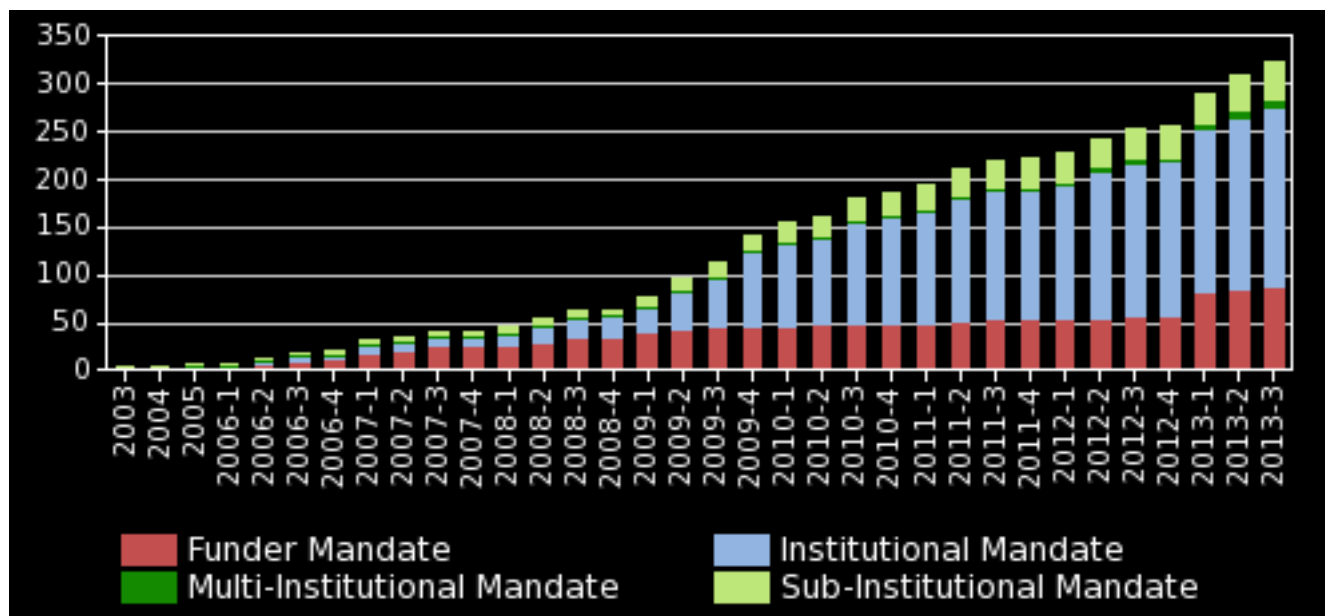
(Tim Brody)





# 2003 – ROARMAP

## Registry of Open Access Repository Mandates and Policies



# Jan 2003 – ECS Open Access mandate (world's first OA mandate) (Wendy Hall)

## ROARMAP

[Home](#) [About](#) [Browse by Country](#) [Browse by Type](#)

[Login](#) | [Create Account/Register Policy](#)

### University of Southampton: School of Electronics and Computer Science

University of Southampton: School of Electronics and Computer Science (05 Feb 2003)

INSTITUTION or FUNDER URL: <http://www.ecs.soton.ac.uk/>

MANDATE URL and TEXT

# 25 Feb 2004 QUT

## World's First Institution-Wide OA Mandate

(Tom Cochrane)

# ROARMAP

[Home](#) [About](#) [Browse by Country](#) [Browse by Type](#)

[Login](#) | [Create Account/Register Policy](#)

Queensland University of Technology

Queensland University of Technology (25 Feb 2004)

INSTITUTION or FUNDER URL: <http://www.qut.edu.au/>

# May 2004 Elsevier endorses **immediate, unembargoed Green OA Self-archiving**

## Elsevier Gives Authors Green Light for Open Access Self-Archiving

*This message:* [ [Message body](#) ] [ [More options \(top, bottom\)](#) ]

*Related messages:* [ [Next message](#) ] [ [Previous message](#) ] [ [Next in thread](#) ] [ [Replies](#) ]

- *Contemporary messages sorted:* [ [by date](#) ] [ [by thread](#) ] [ [by subject](#) ] [ [by author](#) ] [ [by messages with attachments](#) ]

---

**From:** Stevan Harnad <[harnad\\_at\\_ecs.soton.ac.uk](mailto:harnad_at_ecs.soton.ac.uk)>

**Date:** Thu, 27 May 2004 23:51:58 +0100

Elsevier has just gone from being a Romeo "Pale-Green" publisher to a full Romeo Green publisher: Authors have the publisher's official green light to self-archive both their pre-refereeing preprints and their refereed postprints.

Elsevier has thereby demonstrated that -- whatever its pricing policy may be -- it is a publisher that has heeded the need and the expressed desire of the research community for Open Access (OA) and its benefits to research productivity and progress.

<http://www.nature.com/nature/focus/accessdebate/21.html>

# Aug 2004 – Joint Southampton OA Recommendation to Parliamentary Select Committee

Les Carr, Dave DeRoure, Stevan Harnad, Jessie Hey, Tony Hey, Steve Hitchcock (Southampton)  
Charles Oppenheim (Loughborough)



[Home](#) [Parliamentary business](#) [MPs, Lords & offices](#) [About Parliament](#) [Get involved](#) [Visiting](#) [Education](#)

[House of Commons](#) [House of Lords](#) [What's on](#) [Bills & legislation](#) [Committees](#) [Publications & records](#) [Parliament TV](#) [News](#) [Topics](#)

You are here: [Parliament home page](#) > [Parliamentary business](#) > [Publications and Records](#) > [Committee Publications](#) > [All Select Committee Publications](#) > [Commons Select Committees](#) > [Science and Technology](#) > [Science and Technology](#)

## Select Committee on Science and Technology Tenth Report

### Summary

Academic libraries are struggling to purchase subscriptions to all the journal titles needed by their users. This is due both to the high and increasing journal prices imposed by commercial publishers and the inadequacy of library budgets to meet the demands placed upon them by a system supporting an ever increasing volume of research. Whilst there are a number of measures that can be taken by publishers, libraries and academics to improve the provision of scientific publications, a Government strategy is urgently needed.

This Report recommends that all UK higher education institutions establish institutional repositories on which their published output can be stored and from which it can be read, free of charge, online. It also recommends that Research Councils and other Government funders mandate their funded researchers to deposit a copy of all of their articles in this way. The Government will need to appoint a central body to oversee the implementation of the repositories; to help with networking; and to ensure compliance with the technical standards needed to provide maximum functionality. Set-up and running costs are relatively low, making institutional repositories a cost-effective way of improving access to scientific publications.

# Sep 2004 – OA Advantage Bibliography (Steve Hitchcock)



The Open Citation Project - Reference Linking and Citation Analysis for Open Archives

See also [Papers produced by the project](#)

## The effect of open access and downloads ('hits') on citation impact: a bibliography of studies

Find your way through the bibliography

Selected topic ALERTboxes: [OA impact biblio rapid reader](#) | [Reviews of OA impact studies](#)

[Latest additions](#)

[Studies with original data](#)

[Web tools for measuring impact](#) | [Comparative reviews](#)

[Background](#)

[The financial imperative: correlating research access, impact and assessment](#) | [Citation analysis, indexes and impact factors](#) | [Open access](#)

### Latest articles on OA impact

This update service is no longer available following the [closure](#) of Connotea. It may be resumed if a suitable alternative service is found.





# 2004 NIH OA Policy “Recommendation” (Upgraded to Mandate 2007)

## ROARMAP

[Home](#)[About](#)[Browse by Country](#)[Browse by Type](#)[Login](#) | [Create Account/Register Policy](#)

**National Institutes of Health (NIH)**

National Institutes of Health (NIH) (25 Dec 2007)

INSTITUTION or FUNDER URL: <http://publicaccess.nih.gov/policy.htm>

MANDATE URL and TEXT

# Dec 21 2004 U Minho

## First University-Wide OA Mandate in Europe

(Eloy Rodrigues)

# ROARMAP

[Home](#)[About](#)[Browse by Country](#)[Browse by Type](#)[Login](#) | [Create Account/Register Policy](#)

**Universidade do Minho**

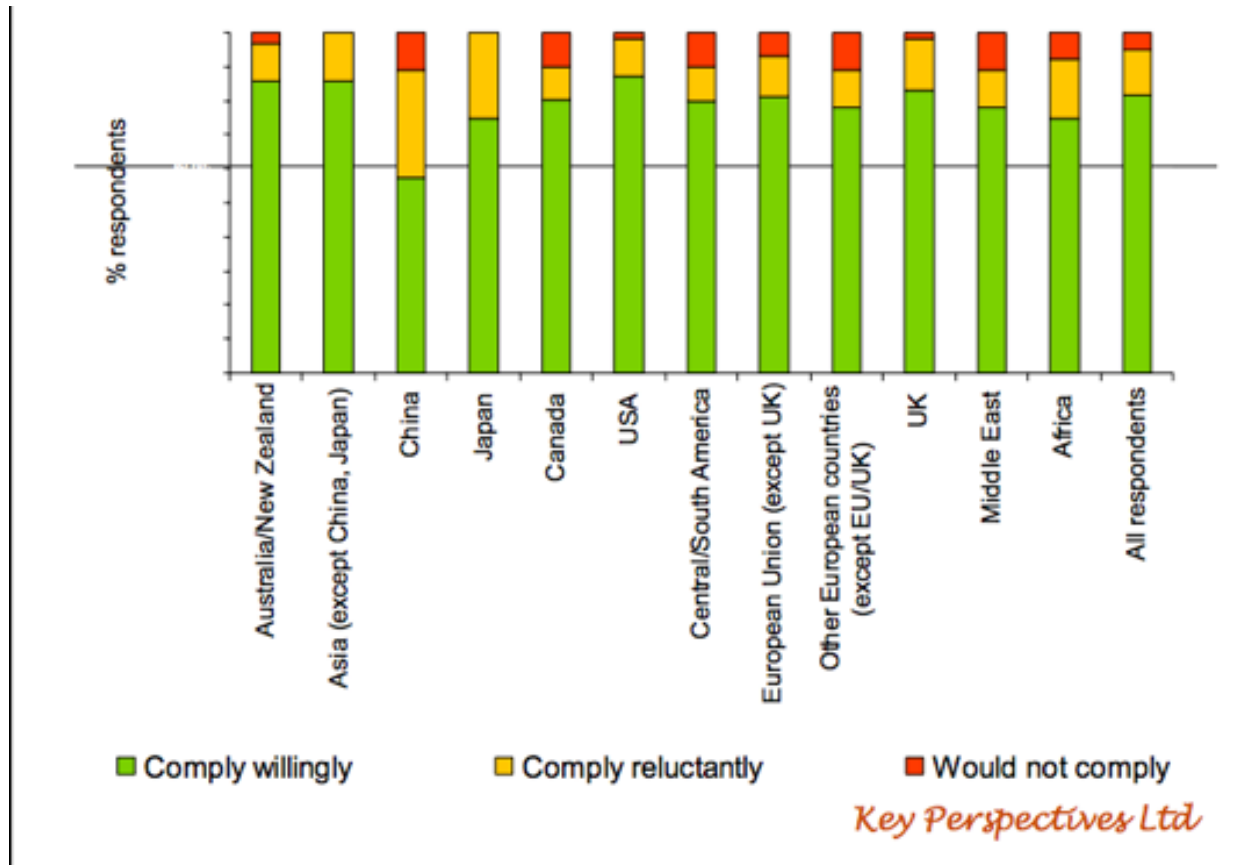
Universidade do Minho (21 Dec 2004)

INSTITUTION or FUNDER URL: <http://www.uminho.pt>

**MANDATE URL and TEXT**

# Swan & Brown 2005 Survey

## “would authors comply with Green OA mandates?”



# Mar 2005 – Berlin 3 Open Access workshop, Southampton

## Berlin 3 Open Access: Progress in Implementing the Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities

Feb 28th - Mar 1st, 2005, University of Southampton, UK

### Outcomes

#### Agreed Recommendation (emphasis added):

"In order to implement the Berlin Declaration institutions should implement a policy to:

1. **require** their researchers to deposit a copy of all their published articles in an open access repository

and

2. **encourage** their researchers to publish their research articles in open access journals where a suitable journal exists (and provide the support to enable that to happen)."

Please register your institution's commitment to implementing an institutional self-archiving policy (and describe your policy) at <http://www.eprints.org/signup/sign.php>. Current list of institutions and policies: <http://www.eprints.org/signup/fulllist.php>.

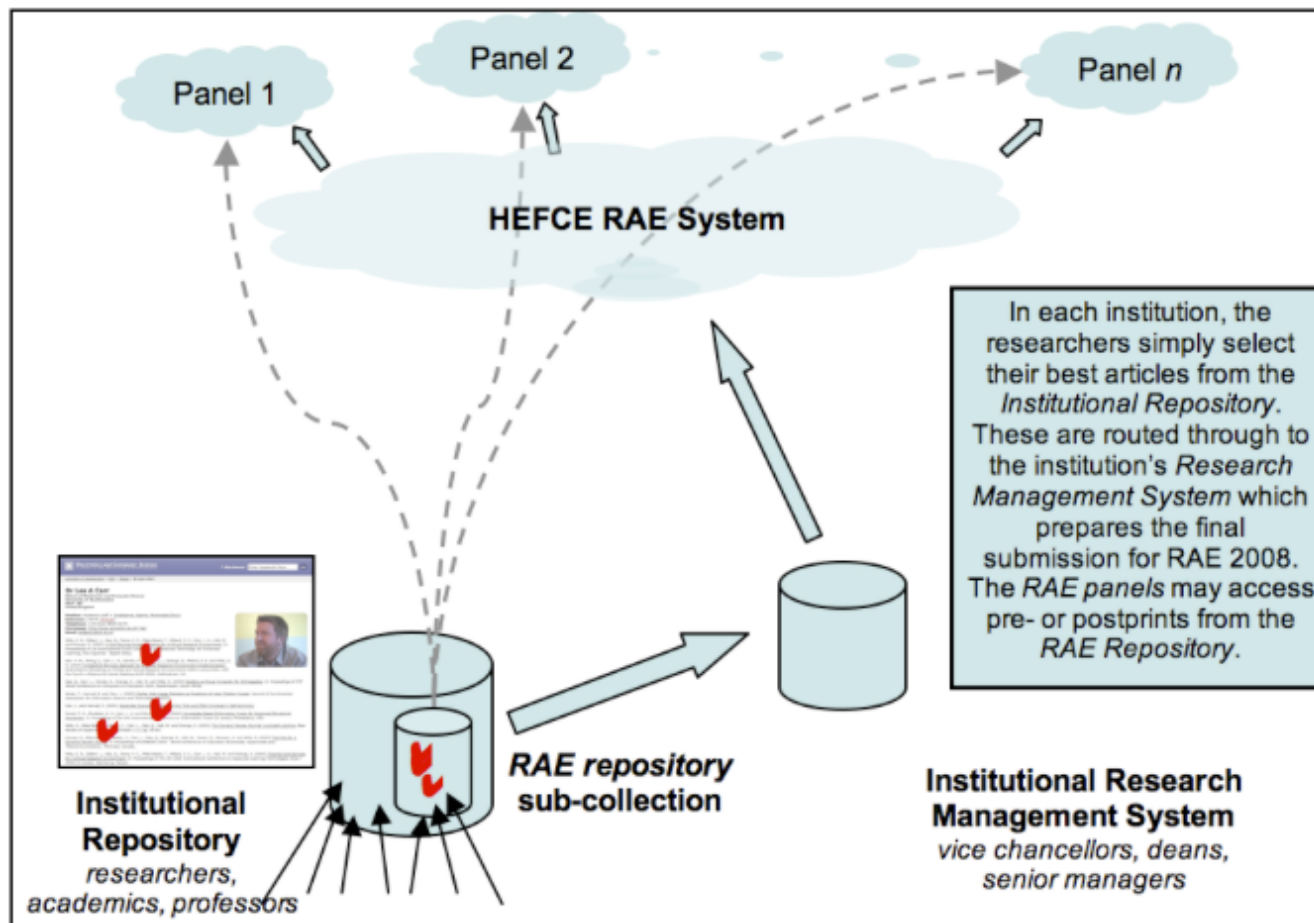
<b>Meeting</b>	Overview Program Outcomes Program Committee Location Registration Contacts
----------------	--

<b>Berlin Declaration</b>	Original Declaration Signatories
---------------------------	-------------------------------------

<b>Participants</b>	Attendees Speakers' Biographies
---------------------	------------------------------------

<b>Press</b>	OA Resources Sponsors
--------------	--------------------------

## Jun 2006 – Southampton Institutional Deposit Mandate for RAE items (Les Carr)



2007 U Liège  
*Optimal Immediate-Deposit Mandate*  
(Bernard Rentier)



# ROARMAP

[Home](#)

[About](#)

[Browse by Country](#)

[Browse by Type](#)

[Login](#) | [Create Account/Register Policy](#)

## Université de Liège (University of Liege)

Université de Liège (University of Liege) (11 Mar 2007)

INSTITUTION or FUNDER URL: <http://www.ulg.ac.be/>

**MANDATE URL and TEXT**

<http://recteur.blogs.ulg.ac.be/?p=103>



# Jan 2008 – Southampton upgrades to full institutional mandate (**but a very weak one**)

## ROARMAP

[Home](#)[About](#)[Browse by Country](#)[Browse by Type](#)[Login](#) | [Create Account/Register Policy](#)

University of Southampton

University of Southampton (04 Apr 2008)

INSTITUTION or FUNDER URL: <http://www.soton.ac.uk/>

MANDATE URL and TEXT



# Feb 2008 – Harvard A&S Mandate

## ROARMAP

[Home](#)[About](#)[Browse by Country](#)[Browse by Type](#)[Login](#) | [Create Account/Register Policy](#)

### Harvard University: Faculty of Arts and Sciences

Harvard University: Faculty of Arts and Sciences (13 Feb 2008)

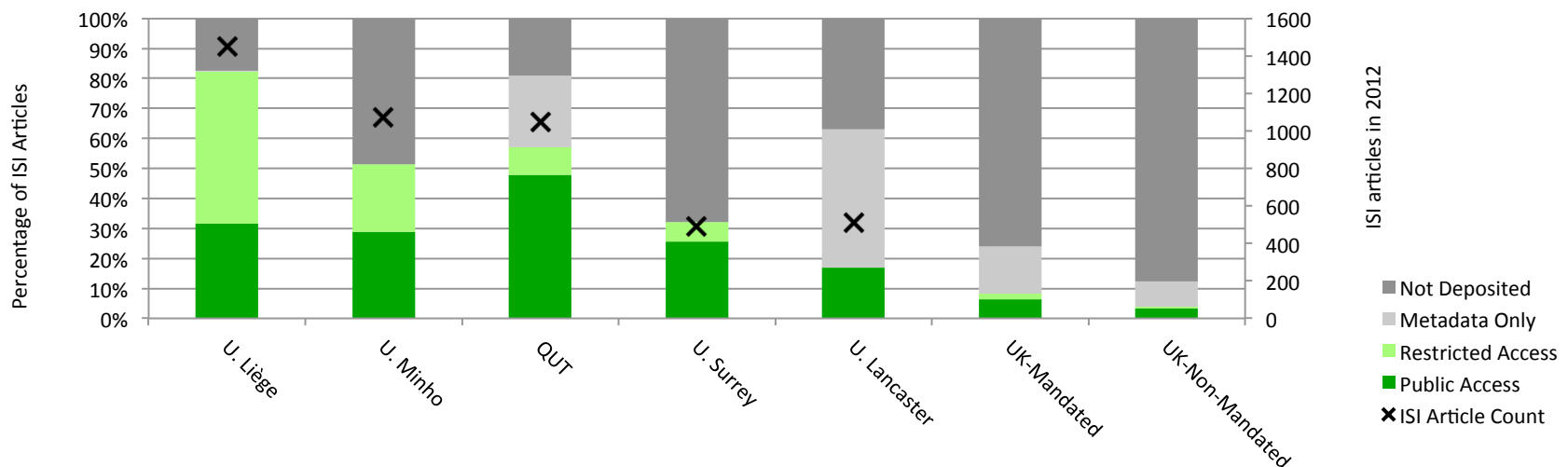
INSTITUTION or FUNDER URL: <http://www.harvard.edu/>

**MANDATE URL and TEXT**

# Comparing Liege, Minho, QUT, Surrey, Lancaster, UK-mandated average & UK-unmandated average

*Liege immediate-deposit mandate is strongest and most effective mandate*

(Minho & QUT are now both upgrading to the Liege immediate-deposit mandate)



# % Deposit of ISI-indexed published in 2012

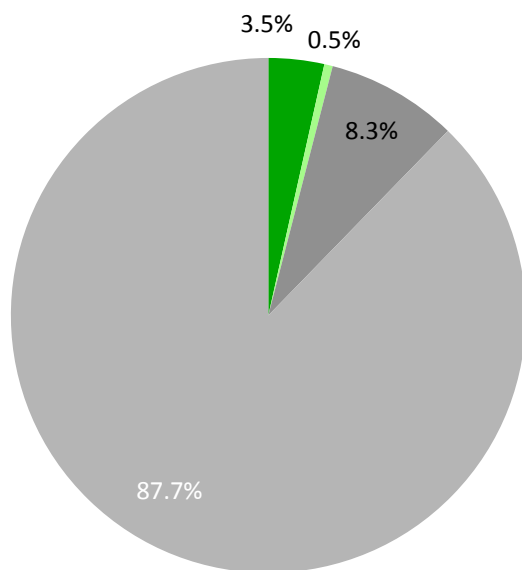
## UK vs U. Liège

(2013)

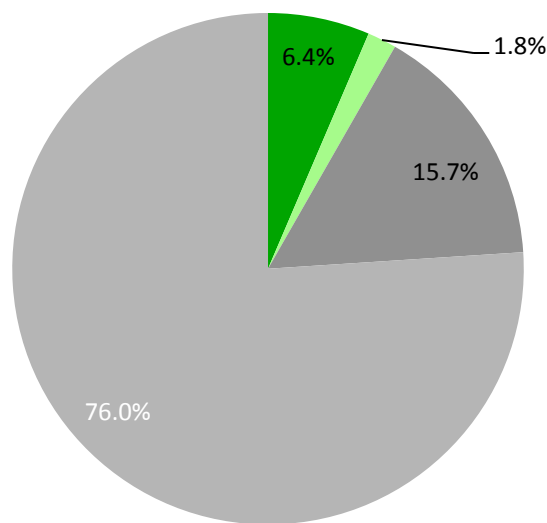
■ Public Full-Text

■ Restricted Access

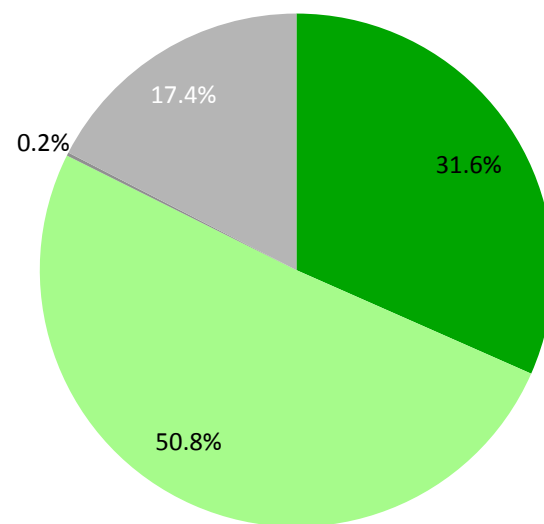
■ No Full-Text



UK Unmandated  
(24,686)



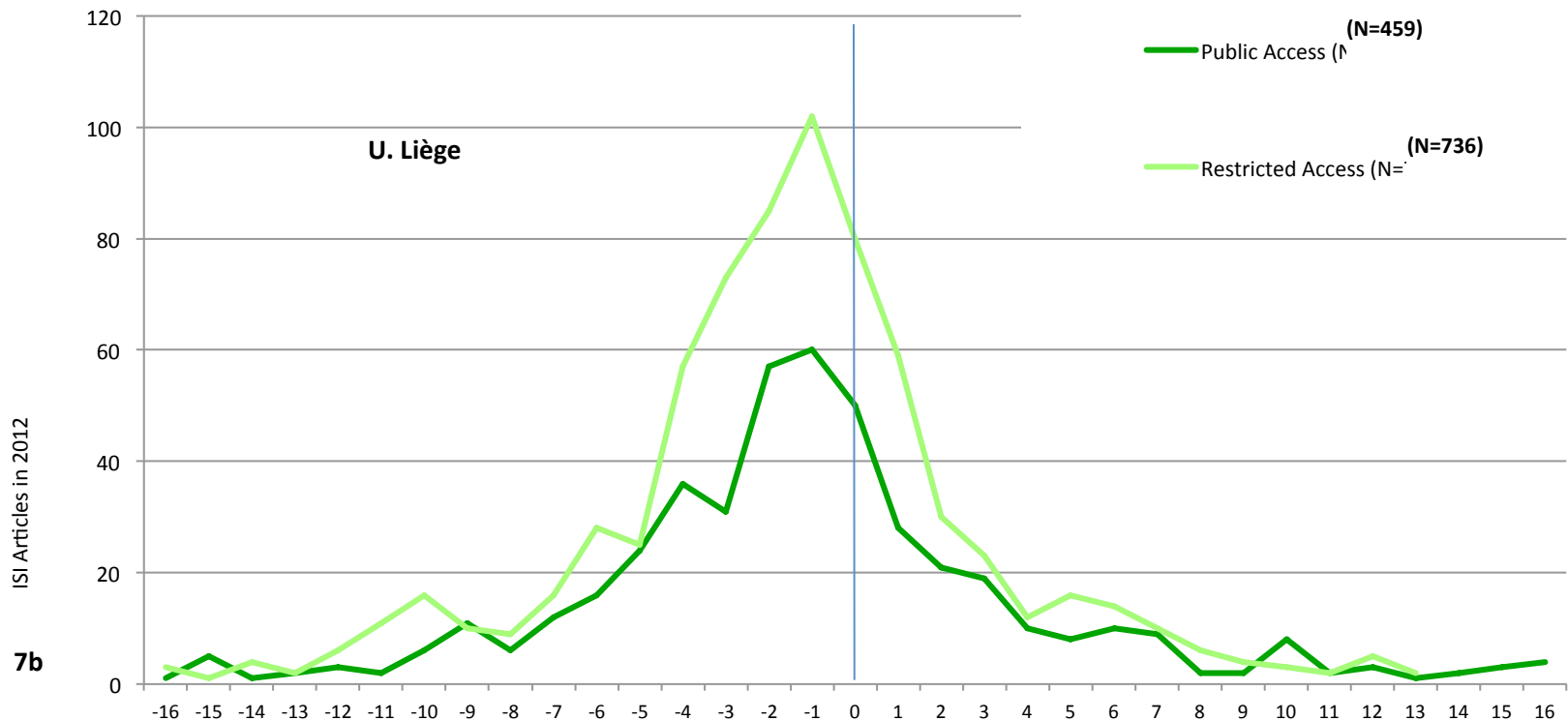
UK Mandated  
(11,995)



U. Liège  
(1,452)

# Deposit Timing: Liège

(vertical line is date of publication)





# 2012 The Finch Fiasco

## The UK's U-Turn from Cost-Free Green to Fool's Gold



*Publishers lobbying against  
research institutions' and funders'  
efforts to mandate OA*

*is the  
Publishing Tail  
Wagging the Research Dog*

*Research and research institutions  
are not being funded  
by the tax-paying public  
as a service to the publishing industry*



# 2012: BOAI-10 OA Policy Recommendations

## 1. On policy

**1.1.** Every **institution of higher education** should have a policy assuring that *peer-reviewed versions of all future scholarly articles by faculty members are deposited in the institution's designated repository...*

*Deposits should be made as early as possible, ideally at the time of acceptance, and no later than the date of formal publication.*

*University policies should respect faculty freedom to submit new work to the journals of their choice. [emphasis added]*

*University policies should encourage but not require publication in OA journals [emphasis added] ...*

**1.3.** Every **research funding agency**, public or private, should have a policy assuring that *peer-reviewed versions of all future scholarly articles reporting funded research are deposited in a suitable repository and made OA as soon as practicable.*

*Deposits should be made as early as possible, ideally at the time of acceptance, and no later than the date of formal publication...*



# Feb 2013: OSTP Directive & FASTR & PAPS Bills

## ROARMAP

[Home](#)[About](#)[Browse by Country](#)[Browse by Type](#)[Login](#) | [Create Account/Register Policy](#)

### US White House Office of Science and Technology Policy (OSTP)

US White House Office of Science and Technology Policy (OSTP) (22 Feb 2013)

INSTITUTION or FUNDER URL: <http://www.whitehouse.gov/administration/eop/ostp>

**MANDATE URL and TEXT**



# May 2013 -- FRS/FNRS Belgium Harmonized Funder+Institution Mandate (Liège Immediate-Deposit Model)

## ROARMAP

**Home**

**About**

**Browse by Country**

**Browse by Type**

[Login](#) | [Create Account/Register Policy](#)

**FRS/FNRS Belgium**

FRS/FNRS Belgium (26 May 2013)

INSTITUTION or FUNDER URL: <http://www.frs-fnrs.be>

**MANDATE URL and TEXT**

# Dec 2013

## EU Horizon 2020 OA Mandate

# ROARMAP

[Home](#)[About](#)[Browse by Country](#)[Browse by Type](#)

[Login](#) | [Create Account/Register Policy](#)

[Search](#)

[Advanced Search](#)

### European Commission Horizon 2020

European Commission Horizon 2020 (13 Dec 2013)

INSTITUTION or FUNDER URL: <http://ec.europa.eu/programmes/horizon2020/>

**MANDATE URL and TEXT**

[http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi\\_en.pdf](http://ec.europa.eu/research/participants/data/ref/h2020/mga/gga/h2020-mga-gga-multi_en.pdf)

Each beneficiary must ensure open access (free of charge, online access for any user) to all peer-reviewed scientific publications relating to its results.

[Each beneficiary must:]

(a) *as soon as possible and at the latest on publication, **deposit** a machine-readable electronic copy of the published version or final peer-reviewed manuscript accepted for publication in a repository for scientific publications.*

Moreover, the beneficiary must aim to deposit at the same time the research data needed to validate the results presented in the deposited scientific publications.

[Each beneficiary must]

(b) ensure open access to the deposited publication — via the repository — at the latest: (i) on publication, if an electronic version is available for free via the publisher, or (ii) within six months of publication (twelve months for publications in the social sciences and humanities) in any other case.

## March 2014: HEFCE Mandate Immediate-Deposit for REF2020 (Liège/FNRS Model)

# ROARMAP

[Home](#)[About](#)[Browse by Country](#)[Browse by Type](#)[Login](#) | [Create Account/Register Policy](#)

### Higher Education Funding Council of England (HEFCE)

Higher Education Funding Council of England (HEFCE) (06 May 2013)

INSTITUTION or FUNDER URL: <http://www.hefce.ac.uk>

#### MANDATE URL and TEXT

[http://www.hefce.ac.uk/media/hefce/content/news/news/2013/open\\_access\\_letter.pdf](http://www.hefce.ac.uk/media/hefce/content/news/news/2013/open_access_letter.pdf)

## The Netherlands EU Presidency 2016

[Home](#) [Latest](#) [Events](#) [EU Presidency](#) [Media](#) **[Documents](#)** [NL](#) [FR](#) [DE](#)

[Home](#) > [Documents](#)

### Documents

## All European scientific articles to be freely accessible by 2020



### Download "All European scientific articles to be freely accessible by 2020"

PDF document | 3 pages | 84 kB

Press release | 27-05-2016

# Open Access: How?

**Universities and Funders adopt the ID/OA mandate:**

**Immediate Deposit**

**+**

**Optional Access**

**+**

 **Button**

(Sole mechanism for submitting for  
performance review or research funding)

# Pre-Green Fool's Gold vs Post-Green Fair Gold

- Journals unaffordable but must-have journals uncancellable
- Pre-Green (Fool's) Gold is arbitrarily and enormously over-priced
- Pre-Green (Fool's) Gold is double-paid (must-have subscriptions fees, *incoming*, (Fool's) Gold publication fees, *outgoing*)
- Pre-Green (Fool's) hybrid Gold is either double-dipped, or each individual institution's outgoing publications subsidize all other institutions' incoming subscription fees

# Pre-Green Fool's Gold vs Post-Green Fair Gold

- Universal Green makes journals cancellable and subscriptions unsustainable
- Post-Green cancellations force journal cost-cutting and down-sizing to the Post-Green essentials
- Print edition, online edition, access-provision, archiving, and their expenses are all obsolete Post-Green, offloaded instead onto the worldwide network of Green OA repositories.
- The sole remaining function and cost of peer-reviewed journal publishing Post-Green will be peer review, paid for out of a fraction of institutional subscription savings as affordable, sustainable Post-Green Fair Gold

# Universal Green OA: *and then what?*

1. All articles OA in institutional repositories immediately upon acceptance
2. Journals can be cancelled
3. Sole remaining cost of peer reviewed journal publishing **post-green** is peer review, paid for out of a fraction of the annual journal cancellation savings



# Pavla Rygelova' 3 questions

- The 1st – Could you describe your point of view of current situation in OA – battle of green vs. gold (fool's gold) – Could you express your attitude to „winning“ activities – gold OA policy in UK, OA2020
- The 2nd - Could you give us advice how to increase impact of green OA policy, how to encourage research and university management to support self-archiving (to support pure open access to published publications).
- The 3rd – Have you got some recommendations how to fight against low quality of scientific publishing - how to force researchers not to publish in predatory journals? (publishing ethics is one of the main topics of this year program of our seminar).

# Děkuji!

1. (1994) [A Subversive Proposal](#)
2. (2001) [The Self-Archiving Initiative](#)
3. (2002) [The Budapest Open Access Initiative](#)
4. (2004) [Memorandum to UK To UK Government Science and Technology Select Committee Select Committee on Science and Technology Written Evidence](#)
5. (2004) [For Whom the Gate Tolls? Select Committee on Science and Technology Written Evidence](#)
6. (2007) [No Need for Canadian PubMed Central: CIHR Should Mandate IR Deposit.](#)
7. (2011) [What Is To Be Done About U.S. Public Access to Peer-Reviewed Scholarly Publications Resulting From U.S. Federally Funded Research?](#)
8. (2011) [Comments on Open Access FAQ of German Alliance of Scientific Organisations](#)
9. (2012) [Digital Research: How and Why the RCUK Open Access Policy Needs to Be Revised](#)
10. (2013) [Response to HEFCE REF OA Policy Consultation.](#)
11. (2013) [Comments on HEFCE/REF Open Access Mandate Proposal.](#)
12. (2013) [Evidence to House of Lords Science and Technology Select Committee on Open Access](#)
13. (2013) [Evidence to BIS Select Committee Inquiry on Open Access.](#)
14. (2013) [Follow-Up Comments for BIS Select Committee on Open Access](#)
15. (2013) [Recommandation au ministre québécois de l'enseignement supérieur.](#)
16. (2013) [Comments on Canada's NSERC/SSHRC/CIHR Draft Tri-Agency Open Access Policy](#)
17. Multiple Comments on [CIHR Open Access Policy](#)
18. Multiple Comments on [SSHRC Open Access Policy](#)
19. Multiple Comments on [OA Progress in Canada](#)
20. Multiple Comments on [NIH Public Access Policy](#)
21. Multiple Comments on [Harvard Open Access Policy](#)
22. Multiple Comments on [France/HAL Open Access Policy](#)
23. Multiple Comments on [Australian Open Access Policy](#)
24. Comments on H. Varmus's 1999 [E-biomed Proposal \[1\] \[2\]](#)
25. Harnad, S. (2007) [The Green Road to Open Access: A Leveraged Transition.](#) In: Anna Gacs. *The Culture of Periodicals from the Perspective of the Electronic Age*. L'Harmattan. 99-106.
26. Harnad, S. (2010) [No-Fault Peer Review Charges The Price of Selectivity Need Not Be Access Denied or Delayed.](#) *D-Lib Magazine* 16 (7/8)